

Securities and Exchange Commission

§ 200.80f

§ 200.80e Appendix E—Schedule of fees for records services.

Search and review services: Up to one half hour total—No fee. For each one half hour or fraction thereof of chargeable service—up to GS-11 employee performing service: \$8.00; GS-12 or above employee performing service: \$14.00.

Attestation with Commission seal: \$4.00

Duplication services: The following duplication services are available. The stated time for delivery in each case begins to run only after receipt of the material by the contractor; if files cannot immediately be made available by the Commission, the time of shipment will be affected.

Regular service. Paper copies of original paper copies, or from microfiche accessible to the contractor, will be shipped within seven calendar days after the contractor receives the order and material at \$0.24 per page, exclusive of any applicable shipment cost and sales taxes.

Other services. The Commission's dissemination contractor also provides a wide range of

additional regulated dissemination services through the Commission's public reference room. Two offsite services also are provided at prices that are regulated: microfiche subscriptions and watch services. Information concerning the availability of all dissemination services may be obtained by writing to the Commission's public reference room located at 100 F Street, NE., Washington, DC 20549 or calling 202-551-8090. Copies made pursuant to requests submitted to the Commission's public reference room will be filled by the contractor and sent directly to the purchaser, unless attestation is requested. The contractor will bill the purchaser directly for the cost of copies plus postage or other delivery charges, and applicable taxes. Purchasers shall make full payment directly to the contractor for these services. Search, review or attestation charges will be billed separately by the Commission.

[52 FR 24148, June 29, 1987; 52 FR 48193, Dec. 21, 1987, as amended at 55 FR 41189, Oct. 10, 1990; 57 FR 48970, Oct. 29, 1992; 58 FR 64120, Dec. 6, 1993; 73 FR 32225, June 5, 2008]

§ 200.80f Appendix F—Records control schedule.

File No.	Type of filing	Retention period
Securities Act of 1933		
2-33	Registration statements and amendments thereto (Regulation C)	30 years.
2-33	Periodic reports (annual, quarterly, current, and proxy material)	30 years.
9-	Notice of proposed resale of restricted securities and resale of securities by control persons (Form 144).	21 years.
15-	Notice of sale of securities pursuant to Rule 242 (Form 242). (Obsolete)	6 years.
18-	Applications for exemption from section 5 registration for interests or participations issued in connection with Keogh Plans (section 3(a)(2)).	10 years.
19-	Notice of sale of securities pursuant to section 4(6) of the Securities Act of 1933 (Form 4(6)). (Obsolete).	6 years.
20-	Offering sheets for oil or gas royalties—Regulation B (Schedules A, B, C) ...	15 years.
20-	Reports of sale (accorded confidential treatment) (Form 1-G)	7 years.
20-	Reports after termination of offering (Form 3-G)	7 years.
21-	Notice of sale for offerings under Regulation D and section 4(6) (Form D) ...	6 years.
24-	Notification of exemption from registration (Regulation A)	Until completion or termination of offering plus 10 years or order of the Commission permanently suspending exemption, whichever comes first.
29-	Report of issuers of sale of securities deemed not to involve any public offering (Form 146). (Obsolete).	6 years.
92-	Application for relief from disability (Regulation A)	Until when final action on appeal is taken plus 10 years.
94-	Notification of exemption for assessment or assessable stock (Regulation F)	10 years.
95-	Notification of exemption for securities issued by a small business investment company (Regulation E).	Until completion or termination of offering plus 5 years or until order of Commission permanently suspending exemption, whichever comes first.
96-	Application for relief from disability (Regulation F)	Until final action on appeal is taken plus 5 years.
98-	Notice of proposed sale by non-controlling person of restricted securities of issuers which do not satisfy all of the conditions of Rule 144.	6 years.
100-	Notification of exemption pursuant to Rule 236	6 years.
Securities Exchange Act of 1934		
0-1	Registration statements (sections 12(b) and 12(g), exemptions thereunder)	30 years.